HEWLETT-PACKARD COMPANY
Legal Department, 20BN
P.O. Box 10301
Palo Alto, California 94303-0890

PATENT APPLICATION

ATTORNEY DOCKET NO. 10981459-1

A

03/09/99 jc511 U.S. PTO 09/264756

IN THE U.S. PATENT AND TRADEMARK OFFICE
Patent Application Transmittal Letter

ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is a(n): (X) Utility ( ) Design
(X) original patent application,
( ) continuation-in-part application

INVENTOR(S): **Venkatesh Krishnan et al.**

TITLE: **CLASS LOADING IN A VIRTUAL MACHINE FOR A PLATFORM HAVING MINIMAL RESOURCES**

Enclosed are:

(X) The Declaration and Power of Attorney. ( ) signed (X) unsigned or partially signed

(X) 4 sheets of drawings (one set)

( ) Information Disclosure Statement and Form PTO-1449 ( ) Associate Power of Attorney

( ) Priority document(s) ( ) (Other) _____ (fee $_____)

CLAIMS AS FILED BY OTHER THAN A SMALL ENTITY				
(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) TOTALS
TOTAL CLAIMS	19 — 20	0	X $ 18	$ 0
INDEPENDENT CLAIMS	3 — 3	0	X $ 78	$ 0
ANY MULTIPLE DEPENDENT CLAIMS			$ 260	$ 0
BASIC FEE: Design ($310.00); Utility ($760.00)				$ 760
TOTAL FILING FEE				$ 760
OTHER FEES				$
TOTAL CHARGES TO DEPOSIT ACCOUNT				$ 760

Charge $ 760 to Deposit Account 08-2025. At any time during the pendency of this application, please charge any fees required or credit any over payment to Deposit Account 08-2025 pursuant to 37 CFR 1.25. Additionally please charge any fees to Deposit Account 08-2025 under 37 CFR 1.16, 1.17,1.19, 1.20 and 1.21. A duplicate copy of this sheet is enclosed.

"Express Mail" label no. EM198800924US

Date of Deposit Mar 09, 1999

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

By _____

Typed Name: Terry Flores

Respectfully submitted,

Venkatesh Krishnan et al.

By _____

Thomas X. Li

Attorney/Agent for Applicant(s)
Reg. No. 37,079

Date: Mar 09, 1999

Telephone No.: (650) 857-5972

Rev 11/98 (TransNew)

- Attach as First Page to Transmitted Papers -

UNITED STATES PATENT APPLICATION FOR

CLASS LOADING IN A VIRTUAL MACHINE FOR A PLATFORM HAVING MINIMAL RESOURCES

Inventors:
Venkatesh Krishnan
Geetha Manjunath
K.S. Venugopal

BACKGROUND OF THE INVENTION

Field of Invention

The present invention pertains to the field of processing systems. More particularly, this invention relates to class loading by a virtual machine.

Art Background

Computer systems and devices having embedded processing resources typically conform to one of a variety of differing architectures. Each architecture is usually defined by a particular instruction set, hardware register set, and memory arrangement, etc. An architecture may also be referred to as a hardware platform for software execution. Software such as application programs which are written or compiled to be executed on a particular hardware platform may be referred to as native code. An application program in the native code of a particular hardware platform usually does not run on other non compatible hardware platforms.

Some software environments enable application programs to execute on a variety of differing hardware platforms. Typically, such a software environment provides a set of predefined services which are specified in terms of application programming interfaces (APIs). Such a software environment is commonly implemented in an object-oriented programming language in which the predefined services are implemented as predefined classes.

One example of such a software environment is a Java virtual machine. A typical Java virtual machine supports a set of predefined classes. Typically, a Java virtual machine includes a class loader that loads the predefined classes into memory as needed when executing a Java application program. Prior java virtual machines typically load the predefined classes from class libraries contained in a local or a remote file system.

Unfortunately, such class loading may limit the applicability of such a software environment. For example, such a software environment may have limited applicability to embedded systems which may have little or no file system resources for storing the class libraries. In addition, the costs of providing the network access resources needed to load classes from remote class libraries and/or the costs of providing network servers to hold the remote class libraries may be prohibitively high for embedded systems.

SUMMARY OF THE INVENTION

A virtual machine is disclosed with mechanisms for class loading and class structure management in a device having limited file system and/or memory resources. The virtual machine includes a class loader that obtains one or more of a set of predefined classes from a network server, thereby reducing or eliminating the need for a local file system in the device. The class loader stores the predefined classes into a class structure in memory in the device. The virtual machine further includes a memory manager that purges selected ones of the predefined classes from the class structure so as to minimize an amount of the memory consumed by the predefined classes in the class structure and to minimize class loading activities via a network. The class loader uses network prevalent mechanisms such as HTTP to minimize costs of network class loading.

Other features and advantages of the present invention will be apparent from the detailed description that follows.

BRIEF DESCRIPTION OF THE DRAWINGS

The present invention is described with respect to particular exemplary embodiments thereof and reference is accordingly made to the drawings in which:

Figure 1 shows a virtual machine that enables execution of application programs in a device having relatively limited resources;

Figure 2 shows one embodiment of a class loading method according to the present teachings;

Figure 3 illustrates a method for maintaining optimal use of the memory resources that store classes being used by application programs;

Figure 4 shows an example hardware embodiment of a device that benefits from the teachings provided herein.

DETAILED DESCRIPTION

Figure 1 shows a virtual machine 12 that enables execution of an application program 24 in a device 10 having relatively limited resources. The limited resources of the device 10 may be characterized by limited or non existent file system resources. Alternatively or in addition, the limited resources of the device 10 may be characterized by limited memory resources.

The virtual machine 12 enables execution of one or more application programs such as the application program 24. The application program 24 is written to invoke one or more of a set of predefined classes that are supported by the virtual machine 12. The virtual machine 12 loads these predefined classes into a class structure 22 as needed during execution of the application program 24. In one embodiment, the predefined classes are Java classes and the virtual machine 12 is a Java virtual machine.

The virtual machine 12 includes a class loader 16 that reduces or eliminates the need for providing a file system in the device 10 by loading the predefined classes via a network 30. In one embodiment, the predefined classes are loaded from a set of class files 28 contained on a network server 26. In other embodiments, the class files 28 may be distributed among several network servers accessible via the network 30.

The class loader 16 includes a network client 18 for accessing the network server 26 and an underlying network protocol stack 20 for communicating with the network server 26 via the network 30. The particular protocol for communication between the network client 18 and the network server 26 is preselected so as to minimize development and/or manufacturing costs associated with the device 10. In one embodiment, the network server 26 is a hyper-text transfer protocol (HTTP) server and the network client 18 is an HTTP client. The network protocol stack 20 in this embodiment includes the TCP/IP layers and layers that provide communication according to the particular physical implementation of the connection to the network 30.

The HTTP protocol may be preferred in that it is widely used network prevalent protocol. As a consequence, HTTP client and network protocol stacks are readily available for a variety of platforms. This helps minimize the cost and reduce the development time and ease the implementation of the virtual machine 12 in a variety of devices. For example, the device 10 may be implemented using a platform in which HTTP client and underlying layers are readily available and need not be independently developed. Moreover, the relatively low cost and wide availability of existing HTTP servers offers additional advantages. For example, the network server 26 may be an existing HTTP server to which the class files 28 are added to support the device 10. This would eliminate the costs associated with

installing a network server which is dedicated to providing class files to the device 10.

The virtual machine 12 includes a memory manager 14 that minimizes the amount of memory resources needed in the device 10 to hold the predefined classes being used for execution of the application program 24. The memory manager 14 monitors the classes stored in the class structure 22 and purges selected ones of the classes from the class structure 22 so as to provide optimal use of the memory resources in the device 10. In addition, the memory manager 14 monitors the classes stored in the class structure 22 and purges selected ones of the classes from the class structure 22 so as to minimize the amount of class loading performed via the network 30.

The device 10 represents any device which may benefit from the advantages provided by the virtual machine 12. This may include devices with relatively little or no file system resources and or minimal memory resources. The device 10 may be an embedded system. Examples of embedded systems include telephones, audio and video equipment, home appliances, and computer peripherals.

Figure 2 shows one embodiment of a class loading method implemented in the class loader 16. The steps shown are performed by the class loader 16 in response to a request by the virtual machine 12 to load a particular class of the predefined classes that support execution of the application program 24.

The particular class may be, for example, a class having a method which is being invoked by the application program 24.

At step 50, the class loader 16 obtains a uniform resource locator (URL) for the network class files 28. In one embodiment, the appropriate URL or URLs for the network class files 28 are specified in one or more NETWORK CLASS PATH definition statements which are provided to the virtual machine 12. An example NETWORK CLASS PATH definition statement is as follows.

```
NETWORK CLASS PATH="netserver/80"
```

where "netserver/80" is a URL of the class files 28. The class files 28 are exported by the network server 26.

At step 52, the class loader 16 generates an HTTP GET command that specifies the particular class file being requested. The HTTP GET command is provided to the network client 18 which in turn issues the HTTP GET command to the network server 26 via the network protocol stack 20. An example of an HTTP GET command is as follows:

```
GET "netserver/80/foo.class"
```

where "foo.class" is the particular class being loaded, and "netserver/80" is a URL specified in a NETWORK CLASS PATH definition statement. If multiple URLs are specified in NETWORK CLASS PATH definition statements then the class loader 16 generates an HTTP

GET command for each at step 52 until the particular class file is found. The multiple URLs may be sub-paths on one network server such as the network server 26 or pathnames for multiple network servers or any combination thereof.

In response to an HTTP GET command issued at step 52, the network server 26 returns a data stream containing the particular class file to the network client 18. The network client 18 provides the returned file data stream to the class loader 16 at step 54.

At step 56, the class loader 16 converts the class file data stream into a predefined class definition format and loads it into the class structure 22. In one embodiment, the predefined class definition format includes arrays and tables for storing methods and references or addresses to the methods in accordance with the Java object-oriented programming language. Thereafter, the virtual machine 12 may create instances of the newly loaded particular class for use by the application program 24.

Figure 3 illustrates one embodiment of a method implemented in the memory manager 14 for maintaining optimal use of the memory resources in the device 10 that hold the class structure 22. The methods steps shown may be performed periodically at predetermined time intervals such as during system idle periods. Alternatively or in addition, the methods steps shown may be performed whenever it is detected that the

memory resources in the device 10 are below a predetermined threshold level of available memory.

At step 60, the memory manager 14 determines which of a set of classes currently stored in the class structure 22 is the least recently used class. The virtual machine 12 may associate a time value to each class contained in the class structure 22 that indicates a time at which an instance of the corresponding class was created. The memory manager 14 may select the least recently used class by selecting on oldest of these time values. Alternatively, count values or other metrics may be used to indicate a relative ordering of the creation of objects from the classes contained in the class structure 22.

The memory manager 14 selects the least recently used class as a candidate to purge from the class structure 22. In this embodiment, a purging of the least recently used class may minimize class loading via the network 30 because more recently used classes are more likely to be needed by the virtual machine 12 to create new objects. The need for subsequent class loading operations on the more recently used classes may be reduced if these classes are retained in the class structure 22. In other embodiments, other criteria for selecting classes as candidates for purging may be employed. For example, certain types of classes or classes that perform particular types of functions are known to be relatively infrequently invoked and may be selected at step 60.

At step 62, the memory manager 14 determines whether the class selected from step 60 is in use. The selected class is in use if it is associated with one or more objects being used by the application program 24. For example, if an object used by the application program 24 is an instance of the selected class then the selected class is in use for the purposes of step 62. Similarly, if an object used by the application program 24 is an instance of a subclass or a parent class of the selected class then the selected class is in use for the purposes of step 62. The virtual machine 12 may maintain a list that specifies the hierarchical associations, i.e. parent and child relationships, of the classes contained in the class structure 22. The memory manager 14 may use this list of associations to render the determination at step 62.

If the selected class is in use at step 62 then the memory manager performs step 64. At step 64, the memory manager 14 determines the next least recently used class and proceeds to step 62 to determine whether the next least recently used class is in use. The memory manager 14 loops through steps 62 and 64 until a candidate for purging is selected. The memory manager then proceeds to step 66 if an appropriate class can be selected.

At step 66, the memory manager 14 purges the class selected at step 60 or 64 from the class structure 22. At step 68, the memory manager 14 deletes objects from memory that are associated with the purged class. The virtual machine 12 may

maintain a list of associations between the classes contained in the class structure 22 and instances of these classes, i.e. objects, contained in memory in the device 10. The memory manager 14 may use this list to locate objects to be deleted at step 68.

In an alternative embodiment, the memory manager 14 deletes the selected class and all of its associated objects regardless of whether the selected class is in use.

In addition, the memory manager 14 may provide a function for explicitly deleting one or more classes which is callable by application programs such as the application program 24. This enables an application program to clean up unneeded classes from memory. This helps prevent unneeded classes from cluttering what may be a relatively limited memory space in the device 10.

Figure 4 shows an example hardware embodiment of the device 10 which includes a processor 96 for executing the virtual machine 12 and the application program 24 and other software or firmware associated with the device 10. The limited memory resources for holding classes that are being used by application programs is represented by a memory 90 which is a random access memory. The memory 90 holds the class structure 22 and may hold the application program 24 and/or elements of the virtual machine 12 as well as instances of classes including classes contained in the class structure 22. Alternatively, the application program 24 and/or elements of the virtual

machine 12 may be stored in a persistent memory (not shown) in the device 10.

In this embodiment, the limited file system resources of the device 10 are represented by a set of file system resources 92. The file system resources 92 may represent elements such as magnetic media including rotating media or solid-state devices or other storage mechanisms. In other embodiments, the device 10 does not have any file system resources.

The device 10 also includes a set of network access resources 94. The network access resources 94 represent the appropriate hardware and software elements that enable communication via a network 30 using the hyper-text transfer protocol (HTTP). The physical communication path supported by network access resources 94 may be a communication link such as Ethernet, a wireless communication link including infrared, a radio link including cellular radio, or a serial or parallel communication link depending on the nature and cost constraints associated with the design of the device 10.

The foregoing detailed description of the present invention is provided for the purposes of illustration and is not intended to be exhaustive or to limit the invention to the precise embodiment disclosed. Accordingly, the scope of the present invention is defined by the appended claims.

CLAIMS

What is claimed is:

1. A virtual machine, comprising:

class structure for holding one or more of a set of predefined classes for use by an application program that executes under the virtual machine;

class loader that obtains one or more of the predefined classes from a network server and that stores the predefined classes into the class structure;

memory manager that purges selected ones of the predefined classes from the class structure so as to optimize the use of memory resources consumed by the predefined classes in the class structure.

2. The virtual machine of claim 1, wherein the network server is an HTTP server that exports a set of class files containing one or more of the predefined classes.

3. The virtual machine of claim 2, wherein the class loader includes an HTTP client that generates an HTTP GET command that specifies a particular one of the class files and provides the HTTP GET command to the HTTP server in response to a request to load a particular one of the predefined classes.

4. The virtual machine of claim 3, wherein the HTTP GET command specifies a URL for the particular one of the class files.

5. The virtual machine of claim 2, wherein the virtual machine is provided with a class definition statement that specifies one or more URLs for the class files.

6. The virtual machine of claim 1, wherein the memory manager purges a least recently used one of the predefined classes from the class structure if the least recently used class is not in use.

7. The virtual machine of claim 6, wherein the memory manager purges a next least recently used one of the predefined classes if the least recently used class is in use.

8. The virtual machine of claim 7, wherein the memory manager purges a set of objects associated with the least recently used or the next recently used one of the predefined classes purged from the class structure.

9. The virtual machine of claim 7, wherein the memory manager purges the least recently used or the next recently used one of the predefined classes at periodic times.

10. The virtual machine of claim 7, wherein the memory manager purges the least recently used or the next recently used one of the predefined classes if available memory resources fall below a predetermined threshold level.

11. The virtual machine of claim 7, wherein the memory manager purges the least recently used or the next recently used one of the predefined classes during system idle periods.

12. A method for class loading in a virtual machine, comprising the steps of:

obtaining one or more of a set of predefined classes from a network server;

storing the predefined classes into a class structure for use by an application program that executes under the virtual machine;

purging selected ones of the predefined classes from the class structure so as to optimize the use of memory resources consumed by the predefined classes in the class structure.

13. The method of claim 12, wherein the step of obtaining includes the step of generating an HTTP GET command that specifies a particular one of the class files and providing the HTTP GET command to an HTTP server in response to a request to load a particular one of the predefined classes.

14. The method of claim 13, wherein the step of purging includes the step of purging a least recently used one of the predefined classes from the class structure.

15. The method of claim 14, wherein the step of purging includes the step of purging a set of objects associated with the class purged from the class structure.

16. A device, comprising:

memory that holds a class structure for storing one or more of a set of predefined classes for use by an application program;

processor that executes the application program and a class loader that when executed obtains one or more of the predefined classes from a network server and stores the predefined classes into the class structure for use when executing the application program, the processor further executing a memory manager that when executed purges selected ones of the predefined classes from the class structure so as to optimize use of the memory.

17. The device of claim 16, wherein the memory manager is executed at periodic times.

18. The device of claim 16, wherein the memory manager is executed if available resources in the memory falls below a predetermined threshold level.

19. The device of claim 16, wherein the memory manager is executed during system idle periods.

ABSTRACT

A virtual machine with mechanisms for class loading and class structure management in a device having limited file system and/or memory resources. The virtual machine includes a class loader that obtains one or more of a set of predefined classes from a network server, thereby reducing or eliminating the need for a local file system in the device. The class loader stores the predefined classes into a class structure in memory in the device. The virtual machine further includes a memory manager that purges selected ones of the predefined classes from the class structure so as to optimize the use of the memory consumed by the predefined classes in the class structure.

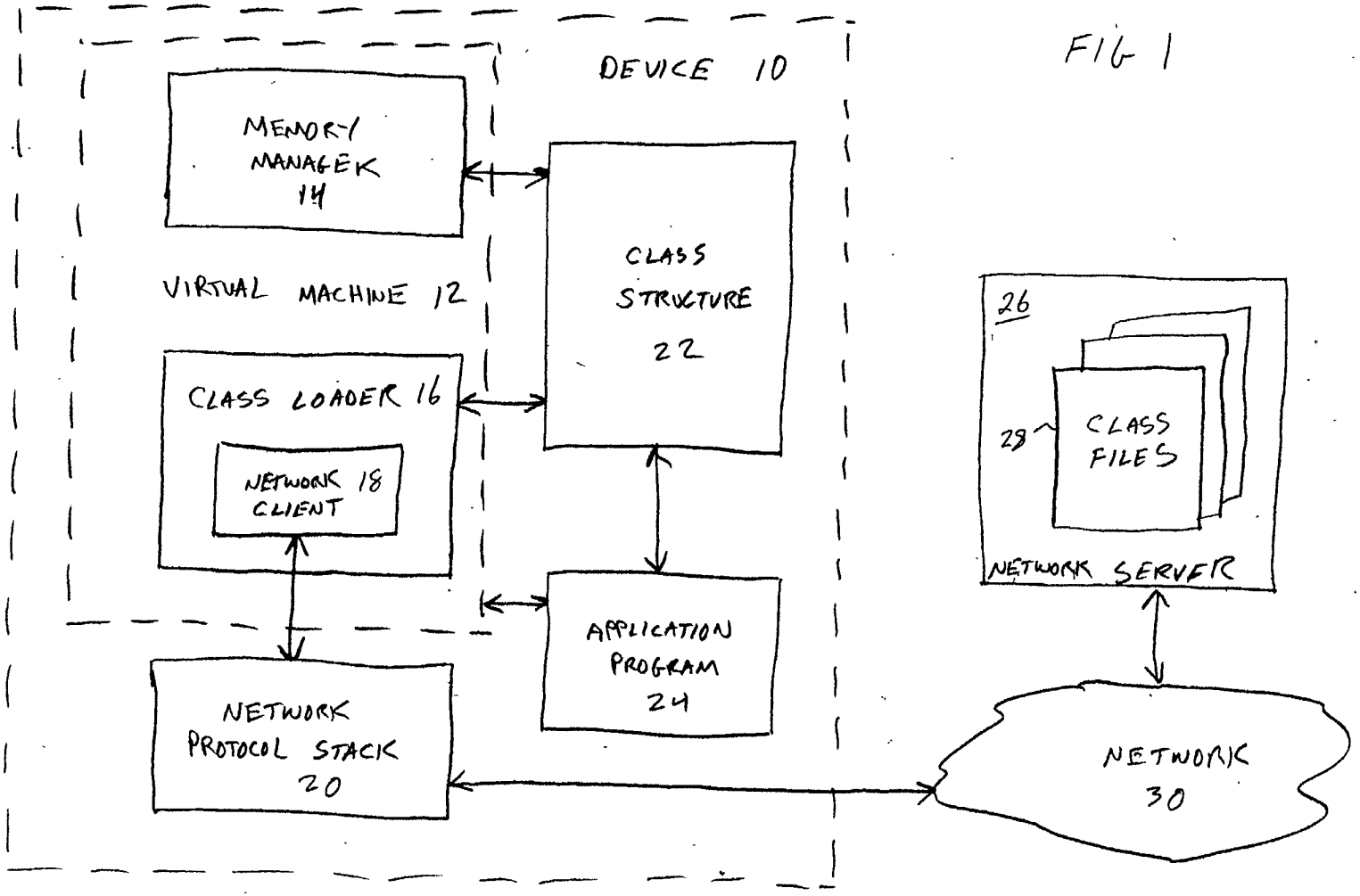

FIG 1

HP10981459

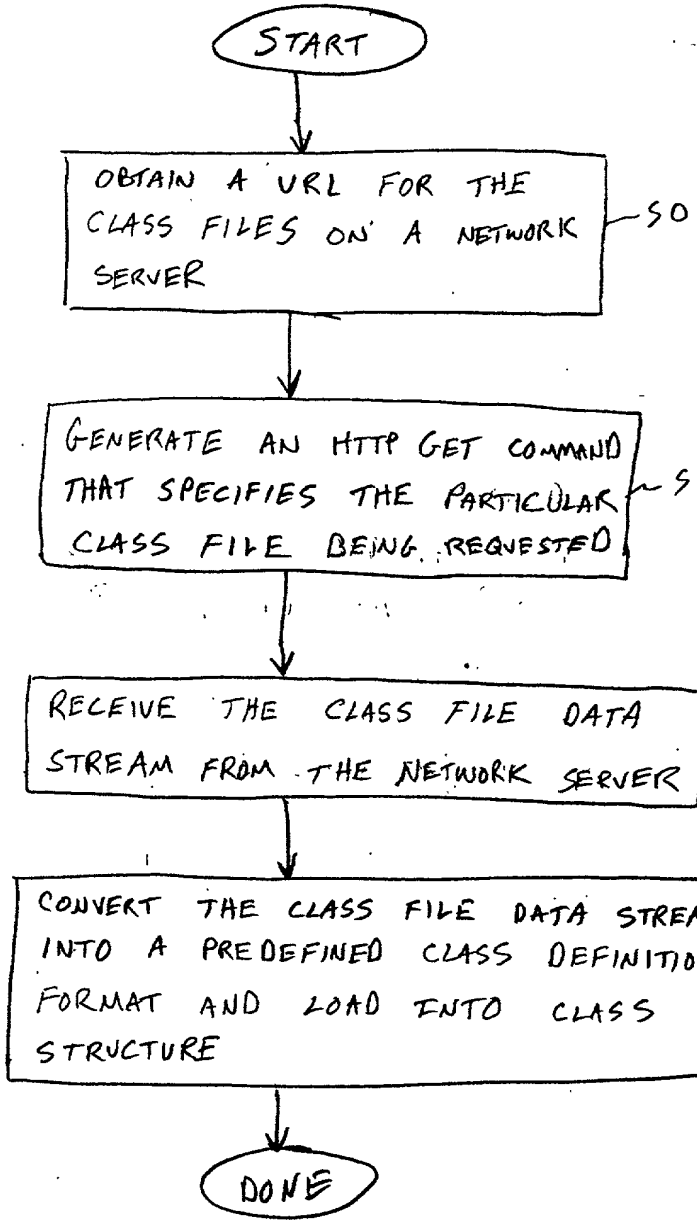

Fig 2

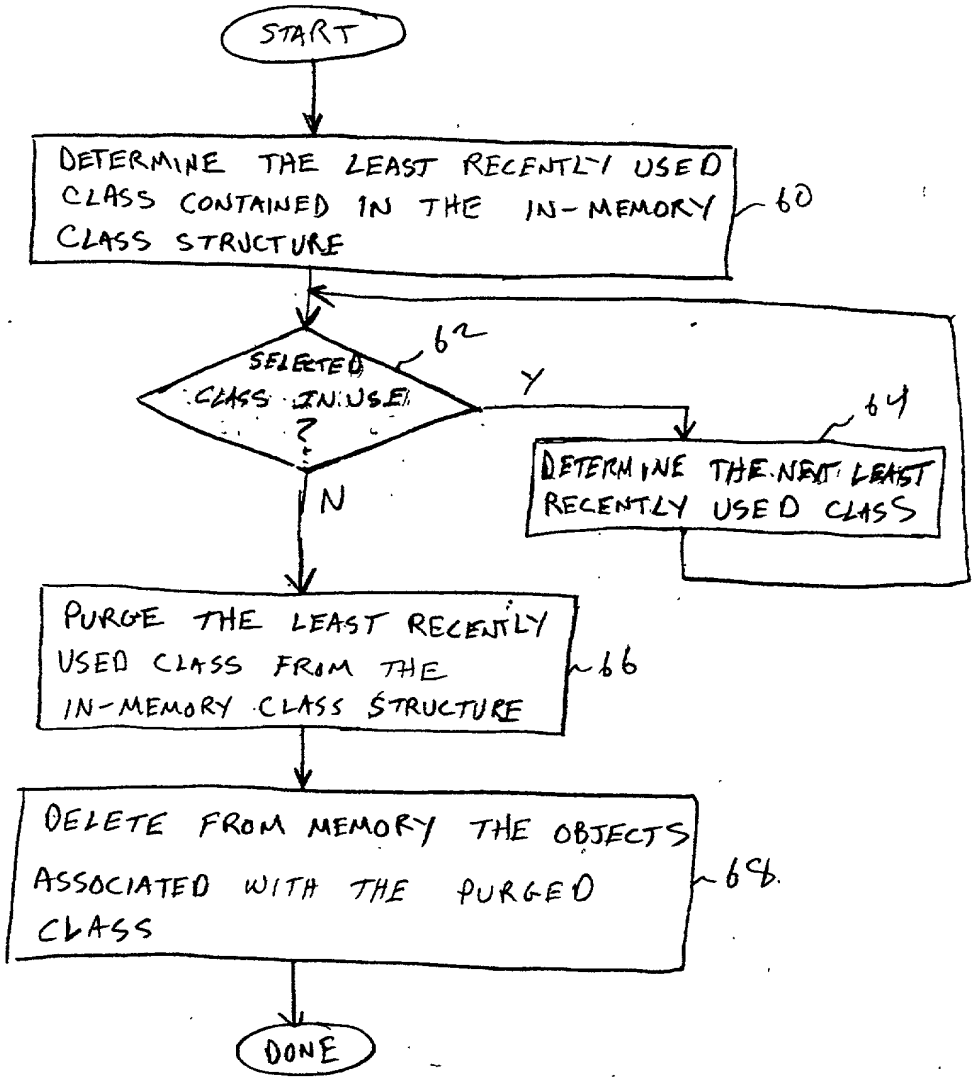

FIG 3

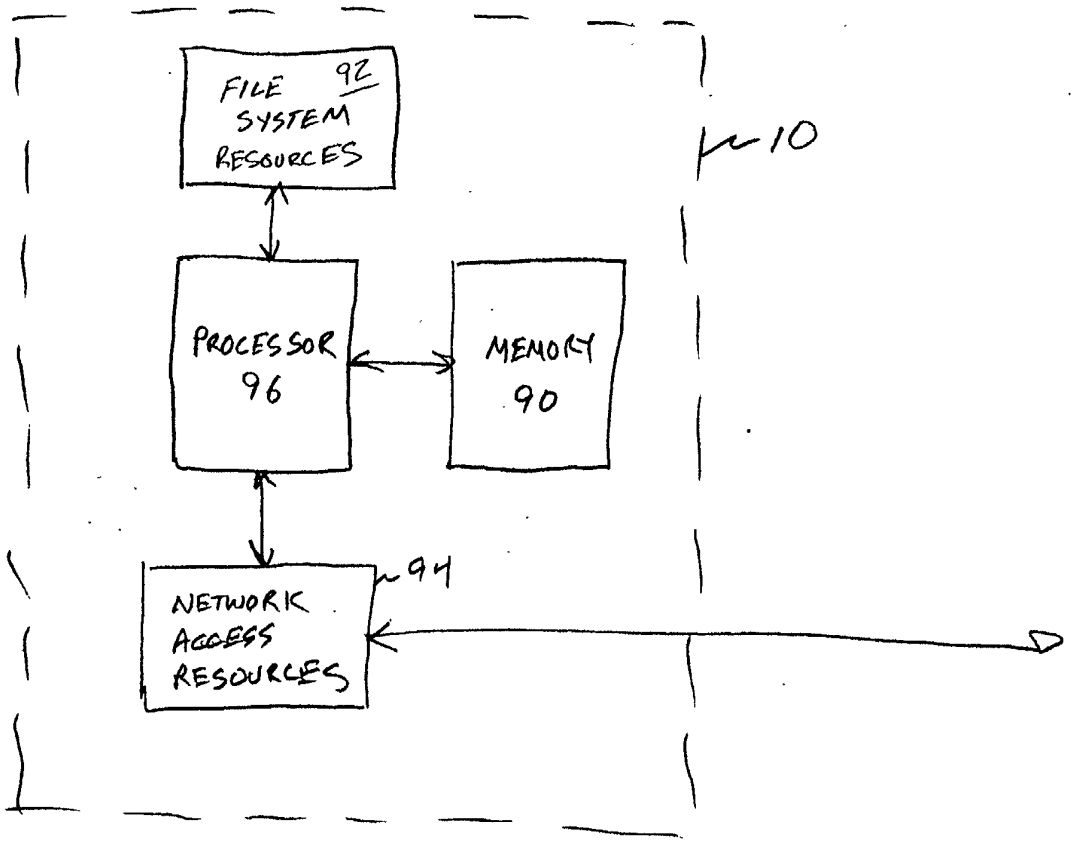

FIG 4

10981459

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

ATTORNEY DOCKET NO. 10981459-1

As a below named inventor, I hereby declare that:

My residence/post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

CLASS LOADING IN A VIRTUAL MACHINE FOR A PLATFORM HAVING MINIMAL RESOURCES

the specification of which is attached hereto unless the following box is checked:

( ) was filed on_____as US Application Serial No. or PCT International Application Number _____ and was amended on_____ (if applicable).

I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above. I acknowledge the duty to disclose all information which is material to patentability as defined in 37 CFR 1.56.

Foreign Application(s) and/or Claim of Foreign Priority

I hereby claim foreign priority benefits under Title 35, United States Code Section 119 of any foreign application(s) for patent or inventor(s) certificate listed below and have also identified below any foreign application for patent or inventor(s) certificate having a filing date before that of the application on which priority is claimed:

COUNTRY	APPLICATION NUMBER	DATE FILED	PRIORITY CLAIMED UNDER 35 U.S.C. 119
			YES: ___ NO: ___
			YES: ___ NO: ___

Provisional Application

I hereby claim the benefit under Title 35, United States Code Section 119(e) of any United States provisional application(s) listed below:

APPLICATION SERIAL NUMBER	FILING DATE

U. S. Priority Claim

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

APPLICATION SERIAL NUMBER	FILING DATE	STATUS (patented/pending/abandoned)

POWER OF ATTORNEY:

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) listed below to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Thomas X. Li	Herbert R. Schulze	Timothy Rex Croll	Ian Hardcastle
Reg. No. 37,079	Reg. No. 30,682	Reg. No. 36,771	Reg. No. 34,075

Send Correspondence to:
IP Administration
Legal Department, 20BN
HEWLETT-PACKARD COMPANY
P.O. Box 10301
Palo Alto, California 94303-0890

Direct Telephone Calls To:
Thomas X. Li
(650) 857-5972

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Inventor: Venkatesh Krishnan **Citizenship:** US

Residence: 710 Russett Terrace, Sunnyvale, CA 94087

Post Office Address: Same as residence

Inventor's Signature **Date**

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION (continued)

ATTORNEY DOCKET NO. 10981459-1

Full Name of # 2 joint inventor: Geetha Mansunath Citizenship: _____

Residence: India

Post Office Address: Same as residence

_____ _____

Inventor's Signature Date

Full Name of # 3 joint inventor: K.S. Venugopal Citizenship: _____

Residence: India

Post Office Address: Same as residence

_____ _____

Inventor's Signature Date

Full Name of # 4 joint inventor: _____ Citizenship: _____

Residence: _____

Post Office Address: _____

_____ _____

Inventor's Signature Date

Full Name of # 5 joint inventor: _____ Citizenship: _____

Residence: _____

Post Office Address: _____

_____ _____

Inventor's Signature Date

Full Name of # 6 joint inventor: _____ Citizenship: _____

Residence: _____

Post Office Address: _____

_____ _____

Inventor's Signature Date

Full Name of # 7 joint inventor: _____ Citizenship: _____

Residence: _____

Post Office Address: _____

_____ _____

Inventor's Signature Date

Full Name of # 8 joint inventor: _____ Citizenship: _____

Residence: _____

Post Office Address: _____

_____ _____

Inventor's Signature Date